

OFFICE OF THE CITY AUDITOR
PERFORMANCE AUDIT
October 2020

**Board Appointments Not
Current, Formal Process
Needed to Assist
Appointing Officials**



CITY OF
KANSAS CITY,
MISSOURI

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October 19, 2020

Honorable Mayor and Members of the City Council:

This audit focuses on whether city-appointed board and commission ("board") membership is current. We evaluated board information on the City Clerk's website and the existing processes that assist appointing officials' efforts to fill vacant or expired board seats. We did not evaluate how appointing officials select appointees for board seats. Additionally, we plan to use the work and information gained from this audit to conduct future audits on other board-related topics such as transparency and accountability, purpose and activity, or governance assessment.

We determined that many board seats are vacant or expired. The Clerk's Office has not designed a board appointment process to direct and manage the responsibilities and actions of the city clerk, appointing authorities, and board staff contacts. The City Clerk's Office is a central participant in the city board appointment process and should coordinate and provide consistency to the process especially because mayoral administrations change. Current and past mayoral administrations reported developing their own processes to administer appointment information.

Additionally, the Clerk's website, which tracks board appointments and board terms does not display accurate board member statuses, include all city-appointed boards for public reference, and board descriptions are not always accurate or complete. The lack of written procedures and accurate information slows board appointments and causes duplicate efforts by appointing officials or board contact staff.

The City Clerk's Office also did not perform some required board duties. The Clerk did not swear-in two sets of appointees after requests from board staff or appointees. The Clerk did not retain records of oaths and appointments for boards as required by city code and state record retention rules.

Appointing officials need a formal process and accurate information to help them navigate board appointments. We make recommendations to design and implement a process that addresses board application, appointment, and commissioning; management and accuracy of board data; and retention of board documentation.

The draft report was sent to the city clerk on August 31, 2020 for review and comment. Her response is appended. We would like to thank the City Clerk's Office, city-appointed board contacts that responded to our survey, and the Law Department for their assistance and cooperation during this audit. The audit team for this project was Kara Jorgensen, Jonathan Lecuyer, and Sue Polys.

Douglas Jones, CGAP, CIA, CRMA
City Auditor

Board Appointments Not Current, Formal Process Needed to Assist Appointing Officials

Table of Contents

Introduction	1
Objective	1
Background	1
City-Appointed Boards and Commissions	1
City Clerk's Office and Website	2
Findings and Recommendations	4
Designing Formal Appointment Process Can Help Appointing Officials Fill Board Seats	4
Clerk Should Design and Guide Process for Board Appointments	4
Clerk's Office Should Design, Document, and Implement Practices to Keep Website Current and Accurate	8
Clerk's Office Not Fulfilling Some Duties	10
Some Board Members Not Sworn-in	10
City Clerk's Office Not Retaining Some Records	11
Recommendations	12
Appendix A: Objective, Scope and Methodology, and Compliance Statement	14
Why We Did This Audit	14
Audit Objective	14
Scope and Methodology	14
Scope of Work on Internal Controls	15
Statement of Compliance with Government Auditing Standards	16
Appendix B: City Clerk's Response	17

List of Exhibits

Exhibit 1. Screenshot of City Clerk's Website Listing of City Boards	2
Exhibit 2. Screenshot from City Clerk's Website of Individual Board Webpage	3
Exhibit 3. City Board Application and Appointment	5
Exhibit 4. Example of "Nominated" Status with Term Expired	9

Introduction

Objective

Are city board and commission appointments current?

Our audit of Boards and Commissions focuses on the status of board and commission appointments and expirations, and the processes used to track those appointments. To achieve our objective, we interviewed city staff and staff from current and former mayoral administrations; reviewed enabling legislation; evaluated information on the city clerk's website; assessed processes for tracking and reporting board and commission appointments; and estimated the number of vacant or expired board seats. We did not evaluate how appointing officials select appointees for board seats.

We conducted this audit in accordance with Government Auditing Standards.

See Appendix A for more information about the audit objective, scope, methodology, and compliance with standards.

Background

City-Appointed Boards and Commissions

About 100 city-appointed boards and commissions ("boards") fulfill a variety of functions for the city. The Mayor, sometimes with council approval, makes most board appointments. The Board of Parks and Recreation Commissioners, the Public Improvement Advisory Committee, the City Plan Commission, Port KC, and the Rental Housing Advisory Board are all examples of city-appointed boards.

Enabling legislation such as the city charter, ordinances, resolutions, or other non-city sources establish boards. Enabling legislation identifies a board's make-up, nomination and appointment process, board member term, and scope of powers or authority. City staff assist some board and commission meetings and activities.

City-appointed boards have major authority and responsibilities within Kansas City government. Boards promote opportunities for public involvement, representation, transparency, and accountability in city affairs. In Fiscal Year 2018, select boards

spent over \$320 million dollars.¹ City-appointed boards carry out or influence many city services and functions. It is important board seats are filled with current members.

City Clerk's Office and Website

The City Clerk is required to keep a record of all board and commission appointments.² The City Clerk's Office uses LEGISuite (LUSI), an information and document management system to track board appointments. LUSI is used to post board information to the city's website that displays the City Clerk's records. The website has a main page listing boards. (See Exhibit 1.) Board pages include the board name, an area to list board members with term expiration dates, a description area, and a board staff contact. (See Exhibit 2.) The clerk has selected a document management and website administration system to replace LUSI sometime in the next six months.

Exhibit 1: Screenshot of City Clerk's Website Listing of City Boards



Source: City Clerk's Office website.

¹ [2019 Governance Assessment](#), Office of the City Auditor, Kansas City, Missouri, August 2019, p.3.

Note: The \$320 million does not include the Board of Police Commissioners and some other city appointed boards and commissions.

² Code of Ordinances, Kansas City, Missouri, Sec. 2-111(a).

Exhibit 2: Screenshot from City Clerk's Website of Individual Board Webpage

City of KANSAS CITY Mo.

Home Contact Us Employment E-Services Residents Visitors Business Neighborhoods Mayor/Council KCMO Home

QUICK LINKS

- 180535-36 Disparity Ordinance-Recommended
- 2019 Official Listing of Mayor and Council
- 2019-2023 Campaign Contributions
- 2020 Regional Hazard Mitigation
- AFFIDAVITS-LLC
- ARTICLE XV CODE OF ETHICS
- Blank LLC Affidavit
- Board Application
- CID's Annual Report Form
- CID's Report Web 5112
- Channel 2
- Charter & Code
- Charter 2014
- Council Record
- Domestic Partner Reg.
- Domestic Partner Termination
- GO Bond Ordinance
- Lobbyists for KCMO
- Medical Billing
- Municipal Officials and Officers Ethics Commission
- Property Registration

Search Board Agendas and Minutes: **Search**

City Plan Commission

Contact: Joseph Rexwinkle
(816) 513-8824
Joseph.Rexwinkle@kcmo.org

Description: There shall be a City Plan Commission consisting of eight members appointed by the Mayor to serve terms of four years beginning on the first day of the fiscal year in the year the appointment is made. In addition, the City Manager, President of the Board of Parks and Recreation Commissioners, Director of Public Works, and Director of the Water Services departments shall be advisory members without a vote. The Mayor shall designate one member as chair.

Conflict of Interest Required: Yes

BOARD MEMBERS

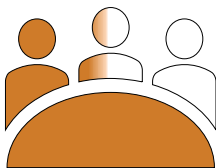
Member	Status	Expiration Date
Coby Crowl	Appointed	5/19/2024
Cokethea Hill	Appointed	5/19/2024
Bruce Allender	Nominated	5/19/2024
James Baker	Nominated	5/19/2024
Forestine Beasley	Appointed	5/19/2024
Tyler Enders	Nominated	5/19/2024
Paul Rojas	Appointed	5/19/2024
Ashley Sadowski	Nominated	5/19/2024

Choose a 2020 | 2019 | 2018 | 2017 | 2016 | 2015 | 2014 | 2013 | 2012 | 2011 | 2010 | 2009 |

Source: Screenshot of City Clerk's website.

Findings and Recommendations

Designing Formal Appointment Process Can Help Appointing Officials Fill Board Seats



Less than half of board seats filled or current

Many Board Seats Are Expired or Vacant

Many board seats are vacant or expired. Boards are designed to operate with a set number of members and most, with a set term length. Based on our review of board member rosters, the number of board vacancies and members with expired terms is over 50 percent. It is important to have board positions filled. Full membership helps ensure that enough board members are available to attend meetings to meet quorum rules. Some boards make decisions on things like liquor licenses, zoning rules, and civil rights violations. When these boards are unable to meet or make decisions, it can negatively impact economic development and civil rights issues in the city. Boards making advisory recommendations that are unable to meet negatively impact the community's ability to provide input on city policies and operations.

A significant number of city boards operating with expired membership is not consistent with the intent of the enabling legislation. Limits on board membership term length are adopted to improve boards by allowing new individuals to participate in and influence city governance. While board members with expired terms are allowed by city charter to continue in their role³ those members should be reappointed or replaced. According to a board staff contact, board members typically become less engaged if they are unsure as to their reappointment once their term expires. Formal reappointment of expired terms allows individuals to know the extent of their service and promote continued, active engagement.

Clerk Should Design and Guide Process for Board Appointments

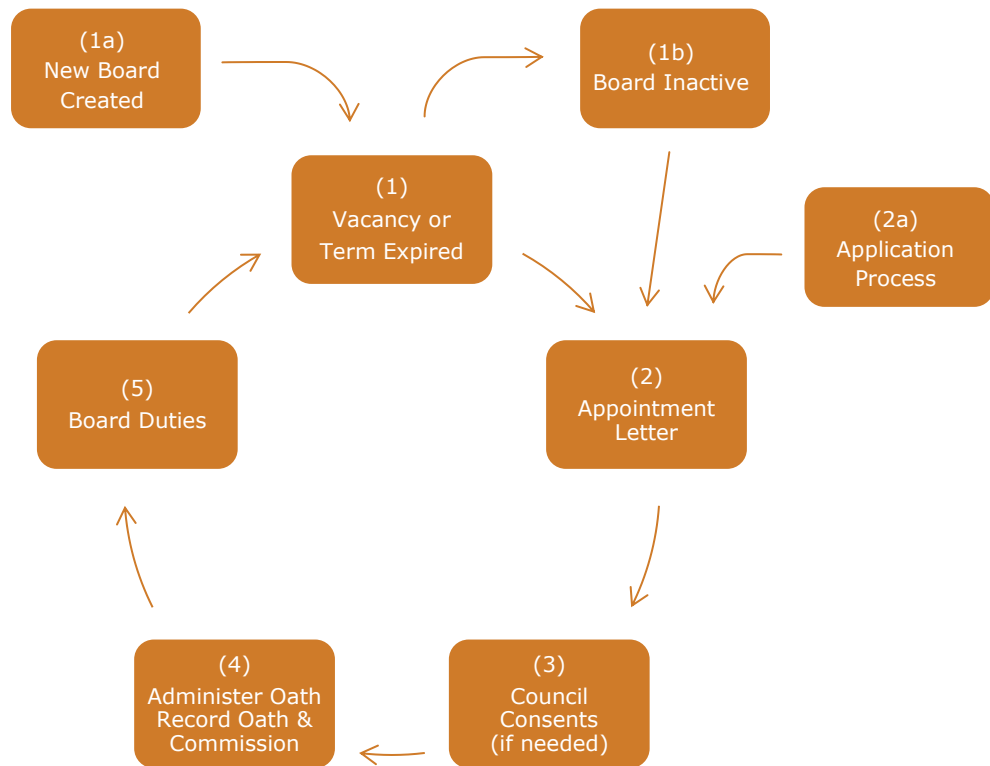
The Clerk's Office has not designed a process for administrating and tracking appointments of board members that helps appointing authorities fill board seats. The clerk views the role of the Clerk's Office as a recipient of materials, not an active administrator of the process. An effective appointment process should be designed to include methods to help appointing authorities fill board seats, use

³Charter of Kansas City, Missouri, Art. XII, Sec. 1204.

appropriate technology and automation when possible, document processes in written policies and procedures, effectively communicate internally and externally, and use quality information. The Clerk's Office has not established administrative policies and procedures for others to follow to help fill board seats. Instead, the Clerk's Office relies on others to define their own processes for their individual circumstances.

The City Clerk's Office is central to administering appointments and managing board records. (See Exhibit 3.) The clerk swears-in new appointees and keeps a record of all board member statuses. The Clerk's website should provide an accurate picture of all boards, board members, and their terms to help appointing officials make appointments.

Exhibit 3. City Board Application and Appointment



Source: City Auditor's Office analysis of City Charter and Code, documentation, and interviews.

The steps identified in Exhibit 3 need written policies and procedures to define how each are accomplished and lead to the next step. Because the Clerk has not designed an administrative process, efforts are duplicated or inconsistent, important information is not communicated to responsible parties, and useful points of contact are not current.

The city clerk should design a formal process for the Clerk's Office, appointing authorities, and board staff contacts to follow when appointing and commissioning board members.

The process should be documented in writing. Procedures, a series of expected steps, are essential to an organization achieving its objectives. Management should use them to communicate necessary actions and decisions, assign responsibilities, help ensure compliance with laws and regulations, and prevent redundancies. Current and past mayoral administrations reported developing their own processes to administer appointment information.

The appointment process includes (See Exhibit 3., p.5):

- An application process and documents⁴
- Appointment letters
- Appointment notification procedures
- Oath and commission documentation

Without established, written procedures for an appointment process, responsibilities are not defined, and processes designed to recruit, and screen board applicants are not retained between Mayoral administrations. The past mayoral administration developed an online application and screening tool for potential board members. While the Clerk's website hosts the online board application, the Clerk does not administer the process. The current mayoral administration was not aware this application system was still functioning. This resulted in applications submitted to a system without active monitoring.

Without established, written procedures for the appointment process, information is not consistently communicated. The City Clerk finds out about the appointments in several ways including receiving an email from the mayor's office, seeing a press release, hearing it in the news, or an email from a board contact. Some of these communication methods could lead to delays in the administration of oaths. Board members must take an oath prior to assuming their official role.⁵

⁴ Mayoral administrations may determine whether they use an application and the information included in the application. If an application is used, the clerk is responsible for maintaining a record of the application.

⁵ City Charter, Art. XII, Sec. 1206.

Recommendation

To provide an on-going process that does not need to be recreated by each new mayoral administration and to ensure consistent communication, the city clerk should develop and implement written procedures for appointing authorities to use in the appointment process that include:

- Board application form, description of where it will be available to potential board members, and how the application will be communicated to the appointing official.
- Appointment letter templates and procedures for appointing authorities to use when communicating new appointments to the City Clerk's Office.

The City Clerk should communicate vacancies and expired and expiring terms to appointing authorities. An effective process should communicate quality information throughout the organization to help achieve the desired objective. The City Clerk's website software can track term expirations and generate lists of expiring board seats, but this function is not used. The current and past mayoral administrations said they were not aware of this function and the city clerk said she does not proactively provide that information to the mayoral administration.

Use of LUSI's automated reporting capabilities could improve the reliability of vacancy information and timeliness of the board member appointments. City appointing officials report using their own tracking methods and research to determine which board seats need to be filled or reappointed. In some cases, board staff contacts notify an appointing authority of a vacancy. Without a systematic notification system of board seat expirations, it is difficult for the appointing authorities to plan for upcoming vacancies and keep board membership current.

Recommendation:

To improve the reliability of board vacancy information and timeliness of board member appointments, the city clerk should use the automated functions of LUSI and LUSI's selected replacement to regularly report to appointing officials vacant and expired seats, and seats set to expire over the next six months.

Clerk Website
Board Contacts

52%

Not Accurate

11%

Not Responsive

The City Clerk should verify board staff contacts and communicate expectations. An effective board member tracking system should have accurate board staff contacts and ensure those staff contacts are trained on their responsibility to track and communicate vacancies to the clerk. Most board staff contacts listed on the Clerk's website were either not accurate or not responsive to our inquiries. Board staff contacts report that the Clerk does not communicate to them expectations on tracking and reporting new board membership, resignations, or other board changes. Because board staff contacts work directly with boards

and often help maintain board records, they are in a position to know and provide that information to the clerk.

Additionally, board staff are an avenue for the public to engage or contact board staff. Outdated board staff contacts on the Clerk's website can impede public engagement of city-appointed boards and deter potential new board membership.

Recommendation:

To ensure that board staff contacts are trained on tracking and reporting board membership to the clerk and so the appointing officials and the public have correct staff contact information to engage public boards and board staff contacts, the city clerk should:

- Develop a process to regularly confirm the current staff contact for boards listed on the Clerk's website.
- Communicate to board staff contacts the Clerk's expectation that reporting changes in board make-up is the responsibility of board staff.

Clerk's Office Should Design, Document, and Implement Practices to Keep Website Current and Accurate

The practices and outdated policies used by the Clerk do not result in current or accurate board information posted on the Clerk's website. Effective written procedures should result in a website that displays a complete list of boards and accurate board membership and board member terms. The Clerk's website is a record of city-appointed boards and should provide current, accurate information to appointing officials and the public.

City Clerk policies and procedures for maintenance of website information do not provide Clerk's Office staff with enough guidance. Written policies and procedures should be designed to achieve an accurate and complete website. The clerk provided procedures that were outdated or for the technical aspects of entering data into LUSI. The procedures do not address timelines for input, decisions on what boards to include on the website, when to post new boards, when to remove old boards, or other relevant issues previously identified.

Board member status on the Clerk's website is not updated.

The clerk stated the office policy is to assign a status of "nominated" in LUSI when their office is made aware of a new board appointment. Once the Clerk's Office has sworn in a nominee, the clerk stated that status should be changed in the system to "appointed". On the Clerk's website 60 percent of all board member statuses are "nominated," but the website also shows half of those "nominated" board members as having expired

board terms. This means that their statuses were never updated to “appointed” during their term. (See Exhibit 4.) Inconsistently updated or displayed board member statuses confuse the public and appointing officials.

Exhibit 4: Example of “Nominated” Status with Term Expired

BOARD MEMBERS		
Member	Status	Expiration Date
August Huber III	Nominated	3/18/2017
Marvin Holmes	Nominated	12/12/2022
Clarence Jones	Nominated	3/18/2017
Craig Hickson	Nominated	12/12/2022
David Findlay	Nominated	7/24/2017

Source: Screenshot of City Clerk’s website, Building and Fire Code Board of Appeals as of July 17, 2020.

Clerk inconsistently lists city boards on website. The clerk states that once a new board is created, the Clerk’s Office posts those boards on their website. The Clerk’s Office has not posted two newly created boards, has not removed inactive or disbanded boards, and does not list all Community Improvement Districts to which a city official makes appointments.

Board descriptions not always accurate or complete. The Clerk’s website is the public record of city actions related to boards and should display accurate information about the board, its make-up, and board member’s terms. Most boards posted on the clerk’s website do not cite the enabling legislation that governs that board. Some of the board descriptions are blank or do not match the enabling legislation. The clerk states their office does not have a record of all enabling legislation for boards listed on their site.

Without reliable content on the Clerk’s website, the appointment process is slowed. Appointing authorities report performing their own research to confirm information that should be available and accurate on the Clerk’s website. The Clerk’s website should be a critical tool used by appointing authorities. Ensuring it is current will help identify and fill vacant and expiring board seats. Additionally, the Clerk’s website is a resource for potential applicants. When information is not accurately displayed on the Clerk’s website, fewer applicants may apply to city boards or applicants may become frustrated applying for boards without open seats.

- Recommendation: To help ensure timely board appointments and that appointing authorities have accurate board information, the clerk should:
- Review the Clerk's website to provide reasonable assurance the following information is displayed and accurate: board enabling legislation, board purpose, board membership, and board terms.
 - Develop and implement written procedures that define which boards to include on the Clerk's Office website, when boards will be added, and how those boards will be updated.

Clerk's Office Not Fulfilling Some Duties

Some Board Members Not Sworn-in

The clerk did not always administer board member oaths upon request. The City Charter requires all board members to take an oath of office prior to beginning their duties.⁶ The City Clerk⁷ or a Deputy City Clerk⁸ may administer an oath of office. At least two boards reported difficulties in obtaining an oath from the clerk for new board members. The clerk did not attend scheduled board meetings. The clerk also declined to swear-in previously nominated board members after a new mayor was elected.

The Clerk's Office also does not take initiative to ensure newly appointed officials have an opportunity to take the oath. The Clerk's Office schedules the oath after being contacted by either the board staff contact or the board member rather than after receiving notice of the appointment from the appointing official. With over 1,000 board appointees, the time burden on the clerk is high as is the potential for scheduling conflicts.

Additionally, the clerk began administering oaths via online video conference in response to stay-at-home orders and the Covid-19 pandemic. While current circumstances related to the pandemic call for adjustments to process, these processes have not been documented to demonstrate when they were implemented, why they were implemented, under what circumstances they will continue, and how they will ensure compliance with city code. Administering an oath is an official city action with its authority outlined in city charter and code. City charter requires board members to take an oath and sign the oath before the city clerk.

⁶ City Charter, Art. XII, Sec. 1206.

⁷ City Charter, Art. XII, Sec. 217(c).

⁸ Code of Ordinances, Kansas City, Missouri, Sec. 2-111(c).

Recommendation	<p>To comply with city charter requirements for board appointments and to ensure all board members have an opportunity to take their oath of office in a timely manner and prior to beginning their official duties, the city clerk should:</p> <ul style="list-style-type: none"> • Swear-in any current member of a board who has not been sworn-in and has an appointment letter from the appropriate appointing official. • Develop and implement written procedures to proactively schedule and administer oaths of office to newly appointed officials within a defined time frame of their appointment. The procedures should also address virtual swear-ins.
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City Clerk's Office Not Retaining Some Records

The City Clerk's Office has not retained all oath and commission records in accordance with state retention requirements. City Code⁹ requires the City Clerk to keep a record of all commissions issued and signed oath of office for appointees. State record retention schedules require cities to retain oaths for one year after the appointment expires, however the city has adopted a policy of a three-year retention schedule.¹⁰ Additionally, the state requires cities to retain commission records¹¹ for one year after the expiration of the appointment.¹²

We requested oath and commission records for 11 boards with 105 members. The City Clerk provided oath and commission documentation for 17 board members. The board appointees had not signed eight of the oath records sent by the clerk. The clerk states her office does not generally keep these records.

The City Clerk's Office also does not actively manage retention of board applications that flow through the office. Applications for board appointments should be kept as part of the board record. The public submits applications for board seats through a portal on the City Clerk's website. The computer system automatically forwards those applications to both the Mayor's Office and the City Clerk. A city database maintains a digital record of the application. Although no one is actively maintaining or managing these records, no records appear to be lost. Without active ownership and

⁹ Code of Ordinances, Sec. 2-111(a).

¹⁰ *Local Records Retention Schedule*, Local Records Board of State of Missouri, GS-046 Oaths of Office, as adopted by the Records Control Committee, City of Kansas City, Missouri.

¹¹ Here, the term "commission" means the official document empowering individuals or groups to act in an official capacity on behalf of the city. Documentation may include applications, interview notes, resumes, staff reports, letters of recommendation, letters of appointment, and related non-routine correspondence.

¹² *Local Records Retention Schedule*, GS 044-Commission and Appointment Records.

management of the database, these records are at risk of electronic decay, being forgotten, lost, or deleted.

Recommendation

To comply with state and city laws and record management schedules, the city clerk should:

- Ensure the Clerk's Office has a signed record of all existing board members commission paperwork and oaths.
- Develop and implement written procedures to ensure all future appointee records, including board member applications, commission paperwork, and oaths of office are signed and retained.

Recommendations

1. The city clerk should develop and implement written procedures that include board application forms, where the application will be available to potential board members, and how the application will be communicated to the appointing official.
2. The city clerk should develop and implement written procedures that include appointment letter templates and procedures for the appointing authority to use when communicating new appointments to the City Clerk's Office.
3. The city clerk should develop a process to use the Clerk's Office information and document management system's automated functions to regularly report to appointing officials currently vacant seats or expired seats, and seats set to expire over the next six-month period.
4. The city clerk should develop a process to regularly confirm the staff contact information is accurate for boards listed on the Clerk's website.
5. The city clerk should communicate to board staff contacts the Clerk's expectation that reporting changes in board make-up is the responsibility of board staff.
6. The city clerk should review the Clerk's website to provide reasonable assurance the following information is displayed and accurate: board enabling legislation, board purpose, board membership, and board terms.

7. The city clerk should develop and implement written procedures that define which boards to include on the Clerk's Office website, when boards will be added, and how those boards will be updated.
8. The city clerk should swear-in any current member of a board who has not been sworn in and has an appointment letter from the appropriate appointing official.
9. The city clerk should develop and implement written procedures to proactively schedule and administer oaths of office to newly appointed officials within a defined time frame of their appointment. The procedures should also address virtual swear-ins.
10. The city clerk should ensure the Clerk's Office has a signed record of all existing board members' commission paperwork and oaths.
11. The city clerk should develop and implement written procedures to ensure all future appointee records, including board member applications, commission paperwork, and oaths of office are signed and retained.

Appendix A: Objective, Scope and Methodology, and Compliance Statement

We conducted this audit of Boards and Commissions under the authority of Article II, Section 216 of the Charter of Kansas City, Missouri, which establishes the Office of the City Auditor and outlines the city auditor's primary duties.

A performance audit provides "objective analysis, findings, and conclusions to assist management and those charged with governance and oversight, with among other things, improving program performance and operations, reducing costs, facilitating decision making by parties with responsibility for overseeing or initiating corrective action, and contributing to public accountability."¹³

Why We Did This Audit

City appointed boards have major authority and responsibilities within Kansas City government. Boards promote opportunities for public involvement, representation, transparency, and accountability in local governance of city affairs. In Fiscal Year 2018, combined spending of boards and commissions exceeded \$320 million dollars. Because many city services and functions are carried out and influenced by appointed boards, it is important board seats are promptly filled.

Audit Objective

This report is designed to answer the following question:

- Are city board and commission appointments current?

Scope and Methodology

Our review focuses on the current status of board and commission appointments and expirations, and the processes used to track those appointments. Our audit methods included:

- Comparing a sample of board and commission rosters obtained from board liaisons to board and commission memberships and term expirations posted on the City

¹³Comptroller General of the United States, [Government Auditing Standards](#) (Washington, DC: U.S. Government Printing Office, 2018), pp. 10, 11.

Clerk's Office website to determine the reliability of the records.

- Calculating totals based on records posted on the clerk's website to determine the number of vacant and expired board and commission seats.
- Comparing boards and commissions' enabling legislation to the board purpose, size, term length, and appointment status listed on the Clerk's website to determine the accuracy of Clerk's board information.
- Surveying boards' staff contacts listed on the clerk's website to determine their accuracy.
- Identifying processes and controls used to track board appointments, terms, and vacancies and determining their effectiveness through interviews with the City Clerk, staff from the current mayor's office and staff from former administrations, city staff serving as board liaisons, and a board member, and analysis of policies, procedures, practices, and training.

We did not evaluate how appointing officials select appointees for board seats.

Scope of Work on Internal Controls

We assessed internal controls relevant to the audit objective. This included a review of written policies and procedures, training, and practices used to appoint and track boards and commissions members. We determined that the following components and principles of internal control were significant to our audit objective:

- Control environment
 - Establish structure, responsibility, and authority
- Control activities
 - Design control activities
 - Design activities for the information system
 - Implement control activities
- Information and communication
 - Use quality information
 - Communicate internally
 - Communicate externally

We identified internal control deficiencies related to the appointment process and discuss the details of these deficiencies within the body of the report.

We assessed the reliability of information on the clerk's website in three parts during our internal control assessment. The first part related to the overall number of boards, the board description, number of board seats, board status, and enabling legislation. We compared this information to source documents in the city charter, code, or other sources of authority. We determined the information on the website was not sufficiently reliable and discuss the details of these deficiencies within the body of the report.

The second part of our assessment of the Clerk's website was the accuracy and reliability of the listed board contacts. To do this, we utilized ACL software to conduct an automated email survey of the listed contacts on the Clerk's website. We made phone calls if no email was listed. We determined the board contacts listed on the Clerk's website were unreliable. We discuss this deficiency further in the body of the report.

The third part of our assessment of the Clerk's website was the accuracy and reliability of the board member names and board member end dates. Underlying documentation to verify this information was not available. In lieu of this documentation, we requested current board membership and term end dates from a judgmental sample of 13 board staff contacts. We then compared this information to that listed on the Clerk's website. We found these sources to have some differences, however, were sufficiently reliable to make conclusions about vacancies and expired term rates overall, but insufficiently reliable to draw conclusions about specific seats.

Statement of Compliance with Government Auditing Standards

We conducted this performance audit in accordance with generally accepted government auditing standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives. No information was omitted from this report because it was deemed confidential or sensitive.

Appendix B: City Clerk's Response



Inter-Departmental Communication Office of the City Clerk

RECEIVED

OCT 05 2020

Date: October 5, 2020
To: Douglas Jones, City Auditor
From: Marilyn Sanders, City Clerk
Subject: Response to Performance Audit: Board Appointments Not Current, Formal Process Needed to Assist Appointing Officials

CITY AUDITOR'S OFFICE

1. *The city clerk should develop and implement written procedures that include board application forms, where the application will be available to potential board members, and how the application will be communicated to the appointing official.*

Agree. The City Clerk is developing a policy and procedure packet by which the boards/commissions process will be housed and prepared for Mayor and Council information and training

2. *The city clerk should develop and implement written procedures that include appointment letter templates and procedures for the appointing authority to use when communicating new appointments to the City Clerk's Office.*

Agree. Policy and procedures are being developed to meet this requirement

3. *The city clerk should develop a process to use the Clerk's Office information and document management system's automated functions to regularly report to appointing officials currently vacant seats or expired seats, and seats set to expire over the next six-month period.*

Agree – Policy and procedures are being created to meet this requirement.

4. *The city clerk should develop a process to regularly confirm the staff contact information is accurate for boards listed on the Clerk's website.*

Agree. The Clerk will develop a process to keep in contact with staff members named as contact person for Boards/Commission.

5. *The city clerk should communicate to board staff contacts the Clerk's expectation that reporting changes in board make-up is the responsibility of board staff.*

Agree – The Clerk will create a procedure to meet this requirement.

- 6. The city clerk should review the Clerk's website to provide reasonable assurance the following information is displayed and accurate: board enabling legislation, board purpose, board membership, and board terms.**

Agree. The Clerk will create a business practice and procedure to meet this requirement.

- 7. The city clerk should develop and implement written procedures that define which boards to include on the Clerk's Office website, when boards will be added, and how those boards will be updated.**

Agree. The Clerk will create a procedure to show the process by which the website will show the required information.

- 8. The city clerk should swear-in any current member of a board who has not been sworn in and has an appointment letter from the appropriate appointing official.**

Agree. The Clerk will continue to work with the Mayor's Office to meet this requirement.

- 9. The city clerk should develop and implement written procedures to proactively schedule and administer oaths of office to newly appointed officials within a defined time frame of their appointment. The procedures should also address virtual swear-ins.**

Agree. The Clerk will develop written procedures to meet this requirement

- 10. The city clerk should ensure the Clerk's Office has a signed record of all existing board members' commission paperwork and oaths.**

Agree. The Clerk will ensure there is a signed record of all commission members in a file in the Clerk's Office moving forward.

- 11. The city clerk should develop and implement written procedures to ensure all future appointee records, including board member applications, commission paperwork, and oaths of office are signed and retained.**

Agree. Policy and procedure has been created to meet this requirement.